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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/807,413	03/24/2004	Taichiroo Konno	035532-0140	3864

22428 7590 11/21/2005

FOLEY AND LARDNER LLP
SUITE 500
3000 K STREET NW
WASHINGTON, DC 20007

EXAMINER	
MONDT, JOHANNES P	
ART UNIT	**PAPER NUMBER**
3663	

DATE MAILED: 11/21/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	10/807,413	KONNO ET AL.	
	Examiner	Art Unit	
	Johannes P. Mondt	3663	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *08 September 2005*.

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-23* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-23* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☒ All b)☐ Some * c)☐ None of:

1.☒ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date *9/8/5*.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____.

DETAILED ACTION

Response to Amendment

Amendment filed 9/8/05 forms the basis for this office action. In said Amendment Applicant substantially amended all pending claims 1-23 and presented a new abstract. Comments on Remarks appended in said Amendment are included below under "Response to Arguments".

Information Disclosure Statement

The examiner has considered the items listed in the Information Disclosure Statement filed 9/8/2005. A signed copy of Form PTO-1449 is enclosed with this office action. Applicant is cautioned that only the English text available on any item has been considered.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

1. ***Claims 1, 3, 5, 7, 9 and 18*** are rejected under 35 U.S.C. 103(a) as being unpatentable over Jou et al (5,869,849) in view of Kuo et al (US 2002/0104997 A1).

Jou et al teach a light emitting diode comprising: a semiconductor substrate 540 (col. 3, l. 54); a light-emitting region 530 including an active layer 532 provided between a first conductivity type cladding layer 533 and a second conductivity type cladding layer

531 (col. 3, l. 45-55); a transparent conductive film 570 made of a metal oxide (indium-tin-oxide or ITO: col. 4, l. 23-24) and located over the light-emitting region; a first electrode 560b (col. 4, l. 26-28) on the upper side of the transparent conductive film; a second electrode 550b (col. 4, l. 25-26) formed on the whole or a part of the bottom of the semiconductor substrate; and a (preventive) layer 520 of AlGaAs (col. 4, l. 52-55) capable to prevent exfoliation in comparison with the prior art by virtue of having a greater impurity concentration (namely: greater than 10^{18} cm^{-3}) (col. 4, l. 53-58), hence having a high carrier concentration, being made of a compound semiconductor containing at least aluminum and located between the light-emitting region 530 and the transparent conductive film 570. Applicant is reminded that the limitation "for preventing...." constitutes functional language. In reference to said limitation, intended use and other types of functional language must result in a structural difference between the claimed invention and the prior art in order to patentably distinguish the claimed invention from the prior art. If the prior art structure is capable of performing the intended use, then it meets the claim. In re Casey,152 USPQ 235 (CCPA 1967); In re Otto , 136 USPQ 458, 459 (CCPA 1963).

Jou et al do not necessarily teach the limitation "and an undoped layer or layer of low carrier concentration formed between the active layer and the second conductivity type cladding layer.

However, it would have been obvious to include said limitation in view of Kuo et al, who, in a patent on an LED with an AlGaInP active layer (see "Summary of the Invention", [0011]-[0016]]), hence analogous art, teach the selection of a multiple

quantum well for active layer (loc.cit.) thereby significantly increasing the light emission efficiency (see [0038]). Please note that any active layer in any light emitting diode inherently has at most a low doping concentration, as otherwise electrons and holes could not coexist.

Motivation derives directly from the higher light output efficiency achievable by selection a multiple quantum well for the active layer structure. As an immediate and inherent consequence the light emitting diode has more than one active layer, hence has one active layer as claimed in line 3 of claim 1 by Applicant, in particular any of the active layers in the multiple quantum well except the topmost active layer, and the claimed "undoped layer or low carrier concentration layer formed between the active layer and the second conductivity type cladding layer" is met by any of the additional active layers on said one active layer.

On claim 3: the preventing layer has a thickness of a little as infinitesimally over 50 nm (col. 4, l. 53-58).

On claim 5: the transparent conductive film is made of indium tin oxide (cf. col. 4, l. 23-24).

On claim 7: the "preventing" layer is made of an arsenic compound, namely AlGaAs (a/o) (col. 4, l. 53-54).

On claim 9: the light emitting region is made of $(Al_xGa_{1-x})_yIn_{1-y}P$ (col. 3, l. 45-55).

On claim 18: this rejection is offered assuming the following interpretation of the limitation "the AsGaAs layer is formed at": "the preventing layer, wherein the preventing layer is a AlGaAs layer, said AlGaAs layer formed at...": Aside from the noted

indefiniteness (see 35 USC 112 rejection included above) the further limitation as defined by claim 18 ("formed...") fails to further limit the light emitting diode but instead only limits it method of making.

Claim Rejections - 35 USC § 103

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

2. ***Claims 2, 4, 6, 8 and 10*** are rejected under 35 U.S.C. 103(a) as being unpatentable over Jou et al and Kuo et al as applied to claim 1 and further in view of Okazaki et al (6,495,862 B1) and Tsuda et al (US 2005/0095768 A1). As detailed above, claim 1 is unpatentable over Jou et al in view of Kuo et al. Jou et al do nor Kuo et al necessarily teach the further limitation defined by claim 2. However, it would have been obvious to include said further limitation because in a patent on contact layers in contact with transparent electrodes in light-emitting diodes to prevent exfoliation (abstract, Figure 1, col. 3, l. 65 – col. 5, l. 14) Okazaki et al teach, as the equivalence of GaN, AlGaAs layers as contact layers contacting p-side transparent electrodes suitable to prevent exfoliation of GaN and of AlGaAs, the selection rather depending on the constitution of the active layer (col. 13, l. 8-25). Although Okazaki et al do not specifically teach a range for the impurity concentration, impurity concentrations of 1019 cm-3 are evidently common in the art of making contact regions, as witnessed by Tsuda et al, citing a value of 1020 cm-3 for said impurity concentration ratio for a p-side GaN

contact doped with Mg (see [0143]). Motivation to select AlGaAs in the case of the application to GaAs based light emitting diodes and the selection of an impurity concentration well over 10^{19} cm^{-3} thus is seen to involve only ordinary skills in the art. Applicant is reminded in this regard that it has been held that mere selection of known materials generally understood to be suitable to make a device, the selection of the particular material being on the basis of suitability for the intended use, would be entirely obvious. In re Leshin 125 USPQ 416.

On claim 4: the preventing layer has a thickness of a little as infinitesimally over 50 nm (col. 4, l. 53-58).

On claim 6: the transparent conductive film is made of indium tin oxide (cf. col. 4, l. 23-24).

On claim 8: the "preventing" layer is made of an arsenic compound, namely AlGaAs (a/o) (col. 4, l. 53-54).

On claim 10: the light emitting region is made of $(Al_xGa_{1-x})_yIn_{1-y}P$ (col. 3, l. 45-55).

3. ***Claims 11, 19-23*** are rejected under 35 U.S.C. 103(a) as being unpatentable over Jou et al and Kuo et al as applied to claim 1 above, and further in view of Temkin et al (Journal of Applied Physics 51(6), 3269-3272 (1980)). As detailed above, claim 1 is unpatentable over Jou et al in view of Kuo et al. Jou et al do nor Kuo et al necessarily teach the further limitation defined by claim 11. However, the advantage of having a stoichiometric parameter x within the range of a direct band gap (x between 0 and 0.45) has long been known to be vital to having low resistance for the ohmic contact, as seen from Temkin et al (see abstract, Figure 1 and Experimental section), who thus

recommend the range between 0 and 0.45 for x. *Motivation* to include the teaching of this range at least stems from the very purpose of ohmic contact regions to provide low resistance contact to the electrodes. Furthermore, considering the substantial overlap of the claimed range with the one found in the prior art by Temkin et al at the very least constitutes a prima facie case of obviousness.

On claims 19, 20 and 21: the further limitations of claims 19 and 21 fail to further limit the light emitting diode but instead only limit its method of making.

On claim 22: the transparent conductive film by Jou et al is made of indium tin oxide (ITO) (see comment in claim 1).

On claim 23: the light emitting region is made of $(Al_xGa_{1-x})_yIn_{1-y}P$ (col. 3, l. 45-55).

4. ***Claim 12*** is rejected under 35 U.S.C. 103(a) as being unpatentable over Jou et al and Kuo et al applied to claim 1 above, and further in view of Okazaki et al (6,495,862 B1) and Tsuda et al (US 2005/0095768 A1). As detailed above, claim 1 is unpatentable over Jou et al in view of Kuo et al. Jou et al do not necessarily teach the further limitation as defined by claim 12, although Jou et al do teach an equivalence of AlGaAs to GaN as contact layers as noted above. However, it would have been obvious to include said further limitation because in a patent on contact layers in contact with transparent electrodes in light-emitting diodes to prevent exfoliation (abstract, Figure 1col. 3, l. 65 – col. 5, l. 14) Okazaki et al teach the equivalence of GaN and AlGaAs layers as contact layers contacting p-side transparent electrodes suitable to prevent exfoliation of GaN and of AlGaAs, the selection rather depending on the constitution of the active layer (col. 13, l. 8-25). Although Okazaki et al do not specifically teach a

range for the impurity concentration, impurity concentrations of 10^{19} cm-3 are evidently common in the art of making contact regions, as witnessed by Tsuda et al, citing a value of 10^{20} cm-3 for said impurity concentration ratio for a p-side GaN contact doped with Mg (see [0143]). *Motivation* to select AlGaAs in the case of the application to GaAs based light emitting diodes and the selection of an impurity concentration well over 10^{19} cm^{-3} thus is seen to involve only ordinary skills in the art. Applicant is reminded in this regard that it has been held that mere selection of known materials generally understood to be suitable to make a device, the selection of the particular material being on the basis of suitability for the intended use, would be entirely obvious. In re Leshin 125 USPQ 416.

5. ***Claim 13*** is rejected under 35 U.S.C. 103(a) as being unpatentable over Jou et al Kuo et al and Temkin et al as applied to claim 11 above, and further in view of Okazaki et al (6,495,862 B1) and Tsuda et al (US 2005/0095768 A1). As detailed above, claim 11 is unpatentable over Jou et al in view of Kuo et al. and Temkin et al. Jou et al do nor Kuo et al nor Temkin et al necessarily teach the further limitation as defined by claim 13, although Jou et al do teach an equivalence of AlGaAs to GaN as contact layers as noted above. However, it would have been obvious to include said further limitation because in a patent on contact layers in contact with transparent electrodes in light-emitting diodes to prevent exfoliation (abstract, Figure 1col. 3, l. 65 – col. 5, l. 14) Okazaki et al teach the equivalence of GaN and AlGaAs layers as contact layers contacting p-side transparent electrodes suitable to prevent exfoliation of GaN and of AlGaAs, the selection rather depending on the constitution of the active layer (col. 13, l.

8-25). Although Okazaki et al do not specifically teach a range for the impurity concentration, impurity concentrations of 10^{19} cm-3 are evidently common in the art of making contact regions, as witnessed by Tsuda et al, citing a value of 10^{20} cm-3 for said impurity concentration ratio for a p-side GaN contact doped with Mg (see [0143]). *Motivation* to select AlGaAs in the case of the application to GaAs based light emitting diodes and the selection of an impurity concentration well over 10^{19} cm^{-3} thus is seen to involve only ordinary skills in the art. Applicant is reminded in this regard that it has been held that mere selection of known materials generally understood to be suitable to make a device, the selection of the particular material being on the basis of suitability for the intended use, would be entirely obvious. In re Leshin 125 USPQ 416.

6. ***Claims 14 and 16*** are rejected under 35 U.S.C. 103(a) as being unpatentable over Jou et al in view of Okazaki et al (6,495,862). As detailed above, claim 1 is unpatentable over Jou et al in view of Kuo et al. Jou et al noir Kuo et al necessarily teach the further limitation defined by claim 14. However, as shown by Okazaki et al the use of Mg (or Zn or C a/o) as metal dopants of a p-type contact layer for the prevention of exfoliation has long been recognized in the art of light-emitting diodes (col. 6, l. 4-40) (note AlGaAs contact layers are alternatively included in Okazaki's teaching: col. 13, l. 8-25*). Motivation* to include the teaching by Okazaki et al at least derives from the success in the anneal step described in col. 6 to accomplish a high impurity concentration and a consequent strong reduction in resistivity of the ohmic contact. With regard to claim 16: the additional limitation in comparison with claim 15, namely that "C

is autodoped" fails to further limit the light emitting diode as final structure but instead merely limits a making of making.

7. ***Claims 15 and 17*** are rejected under 35 U.S.C. 103(a) as being unpatentable over Jou et al, Kuo et al and Temkin et al as applied to claim 11 above, and further in view of Okazaki et al (6,495,862). As detailed above, claim 11 is unpatentable over Jou et al in view of Kuo et al and Temkin et al, none necessarily teaching the further limitation defined by claim 15. However, as shown by Okazaki et al the use of Mg (or Zn or C a/o) as metal dopants of a p-type contact layer for the prevention of exfoliation has long been recognized in the art of light-emitting diodes (col. 6, l. 4-40) (note AlGaAs contact layers are alternatively included in Okazaki's teaching: col. 13, l. 8-25*).* *Motivation* to include the teaching by Okazaki et al at least derives from the success in the anneal step described in col. 6 to accomplish a high impurity concentration and a consequent strong reduction in resistivity of the ohmic contact. With regard to claim 17: the additional limitation in comparison with claim 15, namely that "C is autodoped" fails to further limit the light emitting diode as final structure but instead merely limits a making of making.

Response to Arguments

Applicant's arguments filed 9/8/2005 have been fully considered but they are not persuasive. In particular, although amendments of the Abstract and Specification filed with said Amendment filed 9/8/05 have been approved and reasons for objections to the specification have thereby been overcome, and although amendments to claims 12, 14, 16, 18 and 20 have successfully removed grounds for the rejections under 35 USC 112,

second paragraph, the substantial amendments to the claims are inadequate to overcome art rejections, as shown above. As Applicant's arguments in traverse are based on the new claim language assuming the old rejections (in office action mailed 6/8/2005) Applicant may be referred to the grounds for rejection as explained in detail above under "35 USC §103(a)".

Conclusion

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Schubert (US2003/0111667 A1) (alternative to Kuo et al; see e.g. title, abstract and [0034]).

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Johannes P. Mondt whose telephone number is 571-272-1919. The examiner can normally be reached on 8:00 - 18:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jack W. Keith can be reached on 571-272-6878. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

JPM
November 14, 2005

JACK KEITH
SUPERVISORY PATENT EXAMINER